

<input type="checkbox"/>	VERIFIED STATEMENT (DECLARATION) BY AN INDEPENDENT INVENTOR CLAIMING SMALL ENTITY STATUS UNDER 37 CFR 1.9(F) AND 1.27(b)	CONFIDENTIAL
Applicant or Patentee: Serial or Patent Number: Filed or Issued: Title:	National Chiao Tung University Optical monitoring apparatus f r ues in wavelength division multiplexing network	Docket #: Group Art Unit: Examiner:

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office with regard to the matter described in:

- ☒ The specification filed herewith, with the title as listed above.
☐ The patent application identified above.
☐ The PCT international patent application identified above.
☐ The patent number identified above.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed or licensed or am under an obligation under contract or law to assign, grant, convey or license any rights in the invention is listed below:

- ☐ no such person, concern or organization.
☒ each such person, concern or organization listed below. **Note:** Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

FULL NAME: National Chiao Tung University	<input type="checkbox"/> Individual <input checked="" type="checkbox"/> Small Business Concern <input type="checkbox"/> NonProfit Organization
ADDRESS: 1001 Ta Hsueh Rd., Hsinchu, Taiwan, R.O.C.	

FULL NAME:	<input type="checkbox"/> Individual <input type="checkbox"/> Small Business Concern <input type="checkbox"/> NonProfit Organization
ADDRESS:	

☐ See attached sheet for additional person(s) concern(s) or organization(s).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine, or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which the verified statement is directed.

INVENTOR'S NAME	DATE	SIGNATURE
SIEN CHI	<i>Aug. 31, 2003</i>	<i>Siên Chi</i>

INVENTOR'S NAME	DATE	SIGNATURE
CHIEN-CHUNG LEE	<i>Aug. 31, 2003</i>	<i>Chien - Chung Lee</i>

INVENTOR'S NAME	DATE	SIGNATURE
CHIEN-HUNG YEH	<i>Aug. 31, 2003</i>	<i>Chien Hung Yeh</i>

INVENTOR'S NAME	DATE	SIGNATURE

☐

**VERIFIED STATEMENT (DECLARATION) BY A SMALL BUSINESS
CLAIMING SMALL ENTITY STATUS UNDER 37 CFR 1.9(f) AND 1.27(c)**

Applicant or Patentee:	National Chiao Tung University	Docket #:	
Serial or Patent Number:		Group Art Unit:	
Filed or Issued:		Examiner:	
Title:	Optical monitoring apparatus for ues in wavelength division multiplexing network		

I hereby declare that I am

- ☒ the owner of the small business concern identified below:
☐ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Concern: National Chiao Tung University
 Address: 1001 Ta Hsueh Rd., Hsinchu, Taiwan, R.O.C.

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, **does not exceed 500 persons**. For purposes of this statement, (1) the number of employees is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the matter described in:

- ☒ The specification filed herewith, with the title as listed above.
☐ The patent application identified above.
☐ The PCT International patent application identified above.
☐ The patent number identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern who would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). Each person or organization having any rights in the invention is listed below:

- ☒ no such person, concern or organization.
☐ each such person, concern or organization listed below:


FULL NAME:	<input type="checkbox"/> Individual <input type="checkbox"/> Small Business Concern <input type="checkbox"/> NonProfit Organization
ADDRESS:	

FULL NAME:	<input type="checkbox"/> Individual <input type="checkbox"/> Small Business Concern <input type="checkbox"/> NonProfit Organization
ADDRESS:	

☐ See attached sheet for additional person(s) concern(s) or organization(s).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine, or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which the verified statement is directed.

Name and Title	Date
Chung-Ju Chang/ Dean of Research and Development	Sep. 5, 2003
Address	Signature
1001 Ta Hsueh Rd., Hsinchu, Taiwan, R.O.C	

**VERIFIED STATEMENT (DECLARATION) BY A NONPROFIT ORGANIZATION
CLAIMING SMALL ENTITY STATUS UNDER 37 CFR 1.9(f) AND 1.27(d)**

Applicant or Patentee:	National Chiao Tung University	Docket #:
Serial or Patent Number:		Group Art Unit:
Filed or Issued:		Examiner:
Title: Optical monitoring apparatus for ues in wavelength division multiplexing network		

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization:

Address:

Type of Organization

- ☒ University or other institution of higher education.
- ☐ Tax exempt under Internal Revenue Service code (26 USC 501(a) and 501(c)(3)).
- ☐ Nonprofit scientific or educational under statute of state of the United States of America.
- Name of State: _____ Statute: _____
- ☐ Would qualify as tax exempt under Internal Revenue Service code (26 USC 501(a) and 501(c)(3)) if located in the United States of America.
- ☐ Would qualify as nonprofit scientific or educational under statute of state of the United States of America if located in the United States of America.
- Name of State: _____ Statute: _____

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) or (b) of Title 35, United States Code with regard to the matter described in:

- ☒ The specification filed herewith, with the title as listed above.
- ☐ The patent application identified above.
- ☐ The PCT international patent application identified above.
- ☐ The patent number identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the above identified nonprofit organization concern are not exclusive, each individual, concern or organization having rights to the invention must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). Each person, concern or organization having any rights in the invention is listed below:

- ☐ No such person, concern or organization.
- ☐ Each such person, concern or organization as listed below:


FULL NAME:	<input type="checkbox"/> Individual <input type="checkbox"/> Small Business Concern <input type="checkbox"/> NonProfit Organization
ADDRESS:	

FULL NAME:	<input type="checkbox"/> Individual <input type="checkbox"/> Small Business Concern <input type="checkbox"/> NonProfit Organization
ADDRESS:	

See attached sheet for additional person(s) concern(s) or organization(s).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine, or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which the verified statement is directed.

Name and Title in Organization	Date
Chung-Ju Chang/ Dean of Research and Development	Sep. 5, 2003
Address	Signature
1001 Ta Hsueh Rd., Hsinchu, Taiwan, R.O.C	

Assignor Name CHIEN-CHUNG LEE	Address No.40, Yusiang Rd., Hualien City, Hualien County Taiwan, R.O.C
Where Signed	
Date Aug 31, 2003	Signature Chien-Chung Lee
Witness (optional)	Witness (optional)
Print/Type Name	Print/Type Name
Signature	Signature
Assignor Name CHIEN-HUNG YEH	Address 1F., No.6, Alley 9; Lane 79, Sec. 3, Sianmin Blvd., Banciao City, Taipei County Taiwan, R.O.C
Where Signed	
Date Aug. 31. 2003	Signature Chien Hung Yeh
Witness (optional)	Witness (optional)
Print/Type Name	Print/Type Name
Signature	Signature
Assignor Name	Address
Where Signed	
Date	Signature
Witness (optional)	Witness (optional)
Print/Type Name	Print/Type Name
Signature	Signature

☐ Continued on Next Page

DECLARATION FOR PATENT APPLICATION AND APPOINTMENT OF ATTORNEY

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name; I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention (Design, if applicable) entitled:

Optical monitoring apparatus for ues in wavelength division multiplexing network

the specification of which (check one):

☒ is attached hereto, or ☐ was filed on:

as U.S. Application Number or PCT International

Application Number:

and (if applicable) was amended on:

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in *Title 37, Code of Federal Regulations, 1.56*. I hereby claim foreign priority benefits under *Title 35, United States Code 119* of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

PRIOR FOREIGN APPLICATION(S)			PRIORITY CLAIMED	
Number	Country	Day/Month/Year Filed	Yes	No

☐ Additional Priority Application(s) Listed on Following Page(s)

I HEREBY CLAIM THE BENEFIT UNDER TITLE 35 U.S. CODE §119(E) OF ANY U.S. PROVISIONAL APPLICATIONS LISTED BELOW.	
Application Number	Day/Month/Year Filed

☐ Additional Provisional Application(s) Listed on Following Page(s)

I hereby claim the benefit under *Title 35, United States Code, 120* of any United States application(s) or PCT international application(s) designating The United States of America listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of *Title 35, United States Code, 112*, I acknowledge the duty to disclose information which is material to patentability as defined in *Title 37, Code of Federal Regulations, 1.56* which became available between the filing date of the prior application(s) and the national or PCT international filing date of this application:

Application Number	Filing Date	Status - Patented, Pending or Abandoned

☐ Additional US/PCT Priority Application(s) listed on Following Page(s)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under *section 1001 of title 18 of the United States Code* and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: I (We) hereby appoint as my (our) attorneys, with full powers of substitution and revocation, to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

APEX JURIS PLLC

I(we) authorize my(our) attorneys to accept and follow instructions from Asian Pacific INT'L Patent & Trademark Office regarding any matter related to the preparation, examination, grant and maintenance of this application, any continuation, continuation-in-part or divisional based thereon, and any patent resulting therefrom, until I(we) or my(our) assigns withdraw this authorization in writing.

Send correspondence to:
13194 Edgewater Lane Northeast Seattle,
Washington 98125, U.S.A.

Telephone Calls to:
206-664-0314

FULL NAME OF FIRST OR SOLE INVENTOR SIEN CHI	CITIZENSHIP Taiwan.R.O.C.
RESIDENCE ADDRESS 9F.-1, No.25, Jianjhong 1st Rd., Hsinchu City, Taiwan, R.O.C	POST OFFICE ADDRESS IS THE SAME AS RESIDENCE ADDRESS UNLESS OTHERWISE SHOWN BELOW
DATE <i>Aug. 31, 2003</i>	SIGNATURE <i>Si-en Chi</i>

☒ See following page(s) for additional joint inventors.

CONTINUATION OF DECLARATION FOR PATENT APPLICATION AND APPOINTMENT OF ATTORNEY

Page 2

PRIOR FOREIGN APPLICATION(S) (35 USC §119)			PRIORITY CLAIMED	
Number	Country	Day/Month/Year Filed	Yes	No

PRIOR PROVISIONAL APPLICATIONS 35 U.S. CODE §119(e)	
Application Number	Day/Month/Year Filed

PRIOR U.S. OR PCT INTERNATIONAL APPLICATIONS (35 U.S. CODE §120)		
Application Number	Filing Date	Status - Patented, Pending or Abandoned

FULL NAME OF JOINT INVENTOR CHIEN-CHUNG LEE	CITIZENSHIP Taiwan.R.O.C.
RESIDENCE ADDRESS No.40, Yusiang Rd., Hualien City, Hualien County, Taiwan, R.O.C	POST OFFICE ADDRESS IS THE SAME AS RESIDENCE ADDRESS UNLESS OTHERWISE SHOWN BELOW
DATE <i>Aug. 31, 2003</i>	SIGNATURE <i>Chien - Chung Lee</i>

FULL NAME OF JOINT INVENTOR CHIEN-HUNG YEH	CITIZENSHIP Taiwan.R.O.C.
RESIDENCE ADDRESS 1F., No.6, Alley 9, Lane 79, Sec. 3, Sianmin Blvd., Banciao City, Taipei County, Taiwan, R.O.C	POST OFFICE ADDRESS IS THE SAME AS RESIDENCE ADDRESS UNLESS OTHERWISE SHOWN BELOW
DATE <i>Aug. 31, 2003</i>	SIGNATURE <i>Chien Hung Yeh</i>

FULL NAME OF JOINT INVENTOR	CITIZENSHIP
RESIDENCE ADDRESS	POST OFFICE ADDRESS IS THE SAME AS RESIDENCE ADDRESS UNLESS OTHERWISE SHOWN BELOW
DATE	SIGNATURE

FULL NAME OF JOINT INVENTOR	CITIZENSHIP
RESIDENCE ADDRESS	POST OFFICE ADDRESS IS THE SAME AS RESIDENCE ADDRESS UNLESS OTHERWISE SHOWN BELOW
DATE	SIGNATURE

☐ See following pages for additional joint inventors/priority applications.